

# California State Treasurer's Office Investment Protection Standards

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In May 2003, Treasurer Phil Angelides announced a set of Investment Protection Standards to protect investors, taxpayers, and pensioners by setting new minimum standards of financial conduct for investment banks and broker/dealers that do business with the State of California. The following firms comply with the Investment Protection Standards:



A.G. Edwards & Sons, Inc.	Janney Montgomery Scott LLC
Banc of America Securities LLC	Keefe, Bruyette & Woods, Inc.
Banc One Capital Markets, Inc.	Lehman Brothers
Bear Stearns & Co., Inc.	Loop Capital Markets
Blaylock & Partners, L.P.	Merrill Lynch & Co.
BNY Capital Markets, Inc.	Morgan Keegan & Co., Inc.
Cabrera Capital Markets, Inc.	Morgan Stanley
Chatsworth Securities LLC	O'Connor Southwest Securities
CIBC World Markets Corp.	Ramirez & Co., Inc.
Citigroup Global Markets, Inc.	Raymond James & Associates, Inc.
Comerica Securities	RBC Dain Rauscher
Credit Suisse First Boston Corporation	Redwood Securities Group, Inc.
D.A. Davidson & Company	Sandler O'Neill & Partners, LP
Edward Jones	SBK-Brooks Investment Corp.
E.J. De La Rosa & Co., Inc.	UBS Securities LLC
First Albany Corporation	US Bancorp Piper Jaffray
Gardner Rich & Company	Vining Sparks
Goldman, Sachs & Co.	Wachovia Capital Markets, LLC
Guzman & Company	Wedbush Morgan Securities
HSBC Securities (USA) Inc.	Wells Fargo Securities LLC
J.P. Morgan	William R. Hough & Co.
Jackson Securities Incorporated	Williams Capital Group, LP